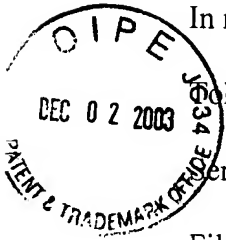


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of

Pohru YOKOZAWA et al.

Serial No. 10/686,598

Filed October 17, 2003

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**Attn: BOX MISSING PARTS**

Attorney Docket No. 2003\_1395A

PROCESS FOR PRODUCTION OF OPTICALLY  
ACTIVE AMINO ALCOHOLS

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. .

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing date of the first Office Action on the merits,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

- a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
- c. ☐ the concise explanation contained in the specification of the present application at page ,
- d. ☐ the concise explanation set forth in the attached English language abstract,
- e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:

5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Tohru YOKOZAWA et al.

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December 2, 2003

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: December 2, 2003

ATTY DOCKET NO.  
2003\_1395ASERIAL NO.  
10/686,598APPLICANT  
Tohru YOKOZAWA et al.FILING DATE  
October 17, 2003

GROUP

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE   | NAME        | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|--------|-------------|-------|----------|-------------------------------|
|                      | AA | 5,491,253          | 2/1996 | Stuk et al. | 560   | 27       |                               |
|                      | AB | 4,454,332          | 6/1984 | Liu et al.  | 560   | 039      |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|--|----|--------------------|---------|---------|-------|----------|-----------------------|
|  | AC | 61-246176          | 11/1986 | JP      |       |          | Corresponds to Ref AD |
|  | AD | 2 163 160 *        | 2/1986  | GB      |       |          |                       |
|  | AE |                    |         |         |       |          |                       |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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|  | AG | V. JAGER et al., "Model Reactions for the Stereo-Controlled Synthesis of Aminopolyols; Reduction of Isoxazolines with Free or Protected Hydroxy Groups in Position 4 or in Side Chains", Angew. Chem. Int. Ed. Engl., Vol. 20, No. 6/7, 1981, pp. 601-603. |
|  | AH | D. G. MELILLO et al., "A Practical Synthesis of (+)-Thienamycin", Tetrahedron Letters, Vol. 21, 1980, pp. 2783-2786.   |
|  | AI | T. L. STUK et al., "An Efficient Stereocontrolled Strategy for the Synthesis of Hydroxyethylene Dipeptide Isosteres", J. Org. Chem., Vol. 59, 1994, pp. 4040-4041.   |
|  | AJ | G. LUNN, "Reduction of Heterocycles with Nickel-Aluminum Alloy", J. Org. Chem., Vol. 52, 1987, pp. 1043-1046.  |
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|  | AL | V. J. BUCHI et al., Helv. Chim. Acta, Vol. 45, 1962, pp. 729-737.  |
|  | AM | M. G. ANDREWS et al., "Syntheses of $\beta$ -Diamines and $\beta$ -Amino Alcohols from $\alpha$ , $\beta$ -Unsaturated Ketones and Aldehyde, Methylamine, and Borohydride Reducing Agents", J. Org. Chem., Vol. 42, No. 4, 1977, pp. 650-652.              |
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EXAMINER

DATE CONSIDERED